

LBNL Contractor Assurance System Overview



Why Assurance?

- CAS Goal:
 - Support science - further DOE mission
 - Improve work processes and products
- How?
 - Identify and manage risks
 - Prevent events/conditions from occurring
 - Learn from our and others' experiences



Risks identified/ analyzed through:

- Operational awareness - meetings, walkthroughs, etc.
- Events
- Management committees
- LBNL CAS functions



LBNL Core Assurance Functions

CAS is built on an integrated system of:

- Assessments
- Performance Measures
- Issues Management
- Continuous Improvement



Assessment

- Robust assessments monitor performance, evaluate controls, and identify risks
 - Self-Assessments- formal and informal
 - Independent Assessments
- *Moving to more risk-based assessment portfolio, LBNL-BSO alignment*



Performance Measures

- Multiple levels of performance measures
 - PEMP
 - Operations Assurance Plan measures
 - Function-specific metrics
- *Developing Operations Business Plans-
measures will align with goals/ objectives*



Issues Management

- Prevent events/ conditions from recurring
 - Identify causes
 - Develop and track corrective actions- CATS
 - Implement effective corrective actions
- Detect adverse conditions/ trends before adverse impact



Continuous Improvement

- Lessons Learned
 - Formal
 - LBNL Lessons Learned and Best Practices System
 - Today At Berkeley Lab
 - DOE corporate LL database
 - Informal
 - Functional/ programmatic/ divisional meetings
- Management reporting
 - Focus on risks



Quarterly Assurance Process

- Operations Assurance Plans are basis for quarterly reports and discussion
- Functional area tri-party teams meet to review performance
 - PEMP, other performance measures
 - Assessment results
 - Risks derived from assurance activities and management of risks
- Quarterly review at the institutional level
 - UC EVP, Lab Director, Lab COO, BSO Manager
 - Focus on risks related to achieving PEMP Goals, Objectives and Notable Outcomes



CAS is based on partnership -UC, LBNL, BSO

Principles of Operations signed by three parties:

- Lab partners with BSO across the board ***to support BSO*** in management oversight role
- BSO integrated awareness ***focused on outcomes***
- BSO assessment of management ***systems*** commensurate with ***risk***
- ***Balance*** risk and cost in setting requirements
- ***Cooperation*** and open ***communications***
- Full ***access*** and ***transparency***
- Emphasis on ***partnership*** and ***collaboration***



Possible CAS Peer Review Questions

1. What are your contractor assurance responsibilities? Can you provide examples?
2. What are the primary risks facing your organization/ program?
3. How do you know that your organization/ program is performing effectively?
4. How do you communicate your performance and risks to Lab management and BSO?
5. How do you measure your organization/ program's performance? What are the results telling you? Can you provide examples?
6. How does contractor assurance help you do your job?
7. What recent improvements have been initiated as a result of contractor assurance?



Resources

Webpace for Peer Review

- https://webpace.lbl.gov/xythoswfs/webview/_xy-5466501_1
- Sign in w/LDAP and go to “Shared” then to “LD-CAS PeerReview”

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